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<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/670,230
	Filing Date	September 28, 2000
	First Named Inventor	Andrew R. Barron
	Art Unit	1731
	Examiner Name	Christopher Fiorilla
Total Number of Pages in This Submission	Attorney Docket Number	1789-02202

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment/Reply  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form PTO-1449 (1 p.); Twenty-Six (26) Cited References and acknowledgment postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm Or Individual Name	Marcella D. Watkins 36 962
Signature	
Date	January 22, 2004

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or Printed Name	Sandra K. Begley		
Signature		Date	January 22, 2004

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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P. O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

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**Complete if Known**

Application Number	09/670,230
Filing Date	September 28, 2000
First Named Inventor	Andrew R. Barron
Examiner Name	Christopher Fiorilla
Art Unit	1731
Attorney Docket No.	1789-02202

<b>TOTAL AMOUNT OF PAYMENT</b>	<b>\$ 180.00</b>
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**FEE CALCULATION (continued)**

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	\$
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	\$
1053	130	1053	130	Non-English specification	\$
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	\$
18042	920*	1804	920*	Requesting publication of SIR prior to Examiner action	\$
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	\$
1251	110	2251	55	Extension for reply within first month	\$
1252	420	2252	210	Extension for reply within second month	\$
1253	950	2253	475	Extension for reply within third month	\$
1254	1,480	2254	740	Extension for reply within fourth month	\$
1255	2,010	2255	1,005	Extension for reply within fifth month	\$
1401	330	2401	165	Notice of Appeal	\$
1402	330	2402	165	Filing a brief in support of an appeal	\$
1403	280	2403	140	Request for oral hearing	\$
1451	1,510	1452	1,510	Petition to institute a public use proceeding	\$
1452	110	2452	55	Petition to revive - unavoidable	\$
1453	1,330	2453	665	Petition to revive - unintentional	\$
1501	1,330	2501	665	Utility issue fee (or reissue)	\$
1502	480	2502	240	Design issue fee	\$
1503	640	2503	320	Plant issue fee	\$
1460	130	1460	130	Petitions to the Commissioner	\$
1807	50	1806	50	Processing fee under 37 CFR 1.17(g)	\$
123	50	123	50	Petitions related to provisional applications	\$
1806	180	1806	180	Submission of Information Disclosure Stmt	\$180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	\$
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	\$
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	\$
1801	770	2801	385	Request for Continued Examination (RCE)	\$
1802	900	1802	900	Request for expedited examination of a design application	\$
Other fee (specify)					\$

## 1. BASIC FILING FEE

**SUBTOTAL (1) \$**

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

<u>Large Entity</u>		<u>Small Entity</u>		
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent Claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)     \$**

**\*\* or number previously paid, if greater; For Reissues, see above**

**SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)

Marcella D Watkins

Registration No.  
(Attorney/Agent)

36.962

Telephone

(713) 238-8000

**Signature**

Date \_\_\_\_\_

January 22, 2004

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THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT:	Andrew R. Barron et al.	§	GROUP ART UNIT:
		§	1731
SERIAL NO.:	09/670,230	§	
		§	EXAMINER:
FILED:	September 28, 2000	§	Christopher A. Fiorilla
		§	
FOR:	Chemical Control Over	§	
	Ceramic Porosity Using	§	
	Carboxylate-Alumoxanes	§	

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Atty. Dkt. No.: 1789-02202

Date: January 22, 2004

Commissioner for Patents  
P. O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

In accordance with 37 CFR §1.97, §1.98, applicant is providing herewith copies of the supplementary items listed on the attached U.S. Patent and Trademark Office Form PTO 1449. If this application was filed prior to June 30, 2003, a copy of each publication listed on Form PTO-1449 is enclosed herewith. This information is supplemental to the Information Disclosure Statement and Form PTO 1449 filed in the above-referenced case on March 3 and March 4, 2003.

Consideration of the following related applications and additional information is requested:

U.S. Patent Application Serial No. 09/133,642, filed August 13, 1998 entitled Methods and Material for Fabrication of Alumoxane Polymers.

Pursuant to 37 C.F.R. § 1.98 (d), copies of certain patents, publications, pending U.S. application(s) or other information, as specified in 37 C.F.R. § 1.98 (a), listed in the attached Form PTO-1449 are not provided herewith, as they have been previously submitted to, or cited by, the Office in the above-mentioned earlier U.S. Patent Application(s). The Information Disclosure Statement filed in the earlier application(s) complies with 37 C.F.R. § 1.98 (a)-(c).

The submission of this Supplemental Information Disclosure Statement and Form PTO-1449 is not an admission that the art cited is "prior" with respect to the present invention, nor is it a representation that no better art exists. Applicants hereby reserve the right to swear behind or otherwise

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disprove any alleged "prior" nature of any art cited should the facts support and the situation warrant such an action.

It is submitted that the art cited does not constitute a bar to the patentability of Applicants' invention under 35 U.S.C. § 102 or § 103.

Because an Office Action has been entered in this case, this Information Disclosure Statement is being filed under C.F.R. 1.97(c). Applicant hereby authorizes the Commissioner to charge Deposit Account 03-2769 of Conley Rose, P.C. the amount of \$180 so that this Information Disclosure Statement may be considered.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Marcella D. Watkins", is written over a horizontal line.

Marcella D. Watkins

Reg. No. 36,962

CONLEY ROSE, P.C.

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Houston, Texas 77253-3267

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ATTORNEY/AGENT FOR APPLICANT

Form PTO-1449 (Modified) <span style="float: right; border: 1px solid black; border-radius: 50%; padding: 5px; text-align: center;"> <b>CIPE</b>  <b>JAN 26 2004</b> </span>		Atty. Docket No. 1789-02202	Serial No. 09/670,230
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use several sheets if necessary)		Applicant <b>Andrew R. Barron</b>	
		Filing Date September 28, 2000	Group 1731
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
AA	Anderson et al.,	Titania and Alumina Ceramic Membranes, Journal of Membrane Science, 39 (1988) pp. 243-258	
AB	Baltus,	Characterization of the Pore Area Distribution in Porous Membranes Using Transport Measurements, Journal of Membrane Science, 123 (1197) pp. 165-184	
AC	Furneaux et al.,	The Formation of Controlled-porosity Membranes from Anodically Oxidized Aluminum, Nature Vol. 337, January 12, 1989 (pp. 147-149)	
AD	Kim et al.,	Hydraulic and Surface Characteristics of Membranes with Parallel Cylindrical Pores, Journal of Membrane Science, 123 (1997) pp. 303-314	
AE	Vries et al.,	Thermal Stability and its Improvement of the Alumina Membrane Top-layers Prepared by Sol-gel Methods, Journal of Materials Science, 26 (1991) pp. 715-720	
AF	Michalske et al.,	Strength and Toughness of Continuous-Alumina-Fiber-Reinforced Glass-Matrix Composites, Journal of American Ceramic Society, Vol. 71, No. 9 pp. 725-731 (1988)	
AG	Nogami,	Sol-gel Preparation of SiO <sub>2</sub> Glasses Containing Al <sub>2</sub> O <sub>3</sub> or ZrO <sub>2</sub> , Journal of Non-Crystalline Solids 178 (1994) pp. 320-326	
AH	Okubo et al.,	Preparation of $\gamma$ -alumina Thin Membrane by Sol-gel Processing and its Characterization by Gas Permeation, Journal of Materials Science 25 (1990) pp. 4822-4827	
AI	Rezgui et al.,	Control of Magnesia-alumina Properties by Acetic Acid in Sol-gel Synthesis, Journal of Non-Crystalline Solids 210 (1997) pp. 287-297	
AJ	Shelleman et al.,	Alpha Alumina Transformation in Seeded Boehmite Gels, Journal of Non-Chrystalline Solids 82 (19986) pp. 277-285	
AK	Wilson et al.,	The Porosity of Aluminum Oxide Phases Derived from Well-Crystallized Boehmite: Correlated Electron Microscope, Adsorption, and Porosimetry Studies, Journal of Colloid and Interface Science, Vol. 82, No. 2, August 1981 (pp. 507-517)	
AL	Yoldas,	Alumina Gels that Form Porous Transparent Al <sub>2</sub> O <sub>3</sub> , Journal of Material Science	
AM	Adkins,	The Selective Activation of Alumina for Decarboxylation or for Dehydration, Selective Activation of Alumina pp. 2175-2186	
AN	Courtright,	Engineering Property Limitations of Structural Ceramics and Ceramic Composites Above 1600°C, Ceramic Engineering Science Proc. 12(9-10) pp. 1725-1744 (1991)	
AO	Elaloui et al.,	Influence of the Sol-Gel Processing Method on the Structure and the Porous Texture of Nondoped Aluminas, Journal of Catalysis 166, pp. 340-346 (1997)	
AP	Sirkar,	New Membrane Materials and Processes for Separation, Published by American Institute of Chemical Engineers, 1988	
AQ	Kareiva et al.,	Carboxylate-Substituted Alumoxanes as Processable Precursors to Transition Metal-Aluminum and Lanthanide-Aluminum Mixed-Metal Oxides: Atomic Scale Mixing via a New Transmetalation Reaction, Chemistry of Materials Vol. 8, Number 9, pp. 2331-2340	
AR	Kingery et al.,	Introduction to Ceramics Wiley-Interscience Publication, 1960	
AS	Landry et al.,	From Minerals to Materials: Synthesis of Alumoxanes from the Reaction of Boehmite with Carboxylic Acids, Journal of Mater. Chem., 1995, 5(2) pp. 331-341	
AT	Lao et al.,	Microporous Inorganic Membranes: Preparation by the Sol-gel Process and Characterization of Unsupported Composite Membranes of Alumina and Polyoxoaluminium Pillard Montmorillonite, Journal of Materials Science Letters 13 (1994) pp. 895-897	
AU	Low et al.,	Synthesis and Properties of Spodumene-modified Mullite Ceramics formed by Sol-gel Processing, Journal of Materials Science Letters 16 (1997) pp. 982-984	
AV	Nikolic et al.,	Alumina Strengthening by Silica Sol-gel Coating, Thin Solid Films 295 (1997) pp. 101-103	
AW	Rezgui et al.,	Chemistry of Sol-Gel Synthesis of Aluminum Oxides with in Situ Water Formation: Control of the Morphology and Texture, Chem Mater (1994) 6, pp. 2390-2397	
AX	Serna et al.,	Division S-9 ----Sole Mineralogy, Soil Sci. Soc. Am. Journal, Vol. 41 (1997) pp. 1009-1013	
AY	Yoldas,	Alumina Gels that Form Porous Transparent Al <sub>2</sub> O <sub>3</sub> , Journal of Materials Science 10 (1975) pp. 1856-1860	
AZ	Zaspalis et al.,	Synthesis and Characterization of Primary Alumina, Titania and Binary Membranes, Journal of Materials Science 27 (1992) pp. 1023-1035	
<b>EXAMINER</b>		<b>DATE CONSIDERED</b>	
<b>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP '609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.</b>			